



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

CUSTOMER NO.: 22927

Applicants: JAY S. WALKER et al.

Application Serial No.: 10/821,255

Filing Date: April 8, 2004

Title: **PURCHASING, REDEMPTION AND SETTLEMENT SYSTEMS  
AND METHODS WHEREIN A BUYER TAKES POSSESSION AT  
A RETAILER OF A PRODUCT PURCHASED USING A  
COMMUNICATION NETWORK**

Attorney Docket No: 04-014

Confirmation No.: 9885

Group Art Unit: 3625

Examiner: Not Yet Assigned

Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Alexandria, VA 22323-1450**REQUEST FOR CORRECTED FILING RECEIPT**

Applicants respectfully request that the filing receipt for the above-identified patent application be corrected as follows:

1. The inventive entities be corrected to reflect the correct surname of the second inventor as Andrew S. VAN LUCHENE.

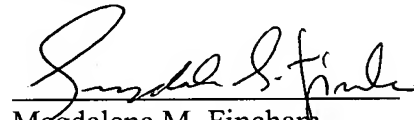
The requested change has been indicated in red on the enclosed copy of the official Filing Receipt.

In support of this request, applicants have enclosed a copy of the first page of the Utility Patent Application Transmittal filed with the original patent application, which clearly indicates the correct names of all the inventors. Please issue a corrected Filing Receipt in due course.

Applicants believe no fee is due. Please charge any fees that may be required for this Request, or credit any overpayment to Deposit Account No. 50-0271. Order number 04-014. The Assistant Commissioner is further authorized to charge any additional fees which may be required for the submission of this paper, or credit any overpayment to Deposit Account No. 50-0271.

Furthermore, should an extension of time be required, please grant any extension of time which may be required to make this submission timely, and charge any fee for such an extension to Deposit Account No. 50-0271. A duplicate copy of this authorization is enclosed for such purposes.

Respectfully submitted,



Magdalena M. Fincham  
Attorney for Applicants  
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September 9, 2004  
Date

JFW



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/821,255	04/08/2004	3625	531	04-014	117	29	2

22927  
 WALKER DIGITAL  
 FIVE HIGH RIDGE PARK  
 STAMFORD, CT 06905

**COPY**

CONFIRMATION NO. 9885  
 UPDATED FILING RECEIPT  
 \*OC000000013600159\*  
 \*OC000000013600159\*

Date Mailed: 08/20/2004

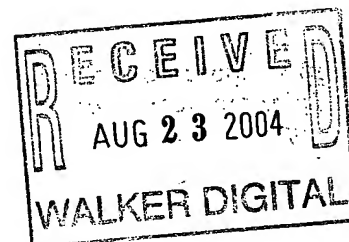
Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

**Applicant(s)**

Jay S. Walker, Ridgefield, CT;  
 Andrew S. Van Luchne, Santa Fe, NM;  
 Magdalena M. Fincham, Ridgefield, CT;  
 Daniel E. Tedesco, Huntington, CT;

Should be LUCHENE**Domestic Priority data as claimed by applicant**

This application is a CIP of 09/337,906 06/22/1999 PAT 6,754,636  
 which is a CIP of 08/889,503 07/08/1997 PAT 6,249,772  
 and is a CIP of 08/889,319 07/08/1997 PAT 6,085,169  
 and is a CIP of 09/190,744 11/12/1998 ABN \*  
 which is a CON of 08/707,660 09/04/1996 PAT 5,794,207  
 and said 09/337,906 06/22/1999  
 is a CIP of 09/083,345 05/22/1998 ABN  
 This application 10/821,255  
 is a CIP of 09/388,723 09/02/1999  
 which is a CIP of 09/337,345 06/21/1999 PAT 6,404,729 \*  
 which is a CIP of 08/889,503 07/08/1997 PAT 6,249,772  
 and said 09/388,723 09/02/1999  
 is a CIP of 08/889,319 07/08/1997 PAT 6,085,169  
 and is a CIP of 09/190,744 11/12/1998 ABN \*  
 and is a CIP of 09/083,345 05/22/1998 ABN  
 This application 10/821,255  
 is a CIP of 09/348,566 07/07/1999  
 which is a CIP of 09/337,345 06/21/1999 PAT 6,404,729 \*  
 which is a CIP of 08/889,503 07/08/1997 PAT 6,249,772  
 and said 09/348,566 07/07/1999



is a CIP of 08/889,319 07/08/1997 PAT 6,085,169  
and is a CIP of 09/190,744 11/12/1998 ABN \*  
and is a CIP of 09/083,345 05/22/1998 ABN  
(\*)Data provided by applicant is not consistent with PTO records.

**Foreign Applications**

**If Required, Foreign Filing License Granted:** 06/21/2004

**Projected Publication Date:** 12/02/2004

**Non-Publication Request:** No

**Early Publication Request:** No

**\*\* SMALL ENTITY \*\***

**Title**

Purchasing, redemption, and settlement systems and methods wherein a buyer takes possession at a retailer of a product purchased using a communication network

**Preliminary Class**

705

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

# UTILITY PATENT APPLICATION TRANSMITTAL (Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
04-014Total Pages in this Submission  
306**TO THE COMMISSIONER FOR PATENTS**Mail Stop Patent Application  
P.O. Box 1450  
Alexandria, VA 22313-1450**COPY**

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

**PURCHASING, REDEMPTION, AND SETTLEMENT SYSTEMS AND METHODS WHEREIN A BUYER TAKES POSSESSION AT A RETAILER OF A PRODUCT PURCHASED USING A COMMUNICATION NETWORK**

and invented by:

**Jay S. WALKER, Andrew S. VAN LUCHENE, Magdalena M. FINCHAM, Daniel E. TEDESCO**If a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No.: 09/337,906

AND is a:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No.: 09/388,723

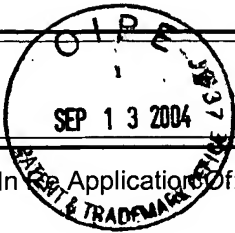
AND is a:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No.: 09/348,566

Enclosed are:

**Application Elements**

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 189 pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☒ Cross References to Related Applications (*if applicable*)
  - c. ☐ Statement Regarding Federally-sponsored Research/Development (*if applicable*)
  - d. ☐ Reference to Sequence Listing, a Table, or a Computer Program Listing Appendix
  - e. ☒ Background of the Invention
  - f. ☒ Brief Summary of the Invention
  - g. ☒ Brief Description of the Drawings (*if filed*)
  - h. ☒ Detailed Description
  - i. ☒ Claim(s) as Classified Below
  - j. ☒ Abstract of the Disclosure



**TRANSMITTAL LETTER**  
**(General - Patent Pending)**

Docket No.  
04-014

Inventor Application of: JAY S. WALKER et al.

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/821,255	April 8, 2004	Not Yet Assigned	22927	3625	9885

Title:

**PURCHASING, REDEMPTION AND SETTLEMENT SYSTEMS AND METHODS WHEREIN A BUYER TAKES POSSESSION AT A RETAILER OF A PRODUCT PURCHASED USING A COMMUNICATION NETWORK**

COMMISSIONER FOR PATENTS:

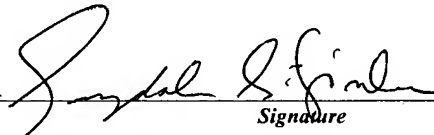
Transmitted herewith is:

**Request for Corrected Filing Receipt, 2 pp.;**  
**Red-lined Copy of Updated Filing Receipt, 3 pp.;**  
**Copy of First Page of Utility Patent Application Transmittal, 1 pg.; and**  
**Return Receipt Postcard.**

in the above identified application.

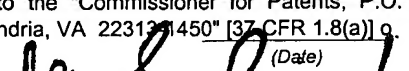
- ☒ No additional fee is required.
- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. **50-0271** as described below.
- ☐ Charge the amount of \_\_\_\_\_
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.
- ☐ Payment by credit card. Form PTO-2038 is attached.

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

  
Signature

Magdalena M. Fincham  
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Dated: September 9, 2004

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" [37 CFR 1.8(a)] o.  
9.9.04  (Date)

Signature of Person Mailing Correspondence

Veronika S. Leliever

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cc: